



Department of Information Resources



Texas Online Waiver Procedures Manual

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Texas Online Waivers Procedure Manual

Table of Contents

Texas Online Waivers Procedure Manual	2
Table of Contents.....	2
TexasOnline Waiver Procedures.....	3
Introduction.....	3
How to apply for a TexasOnline Waiver	4
Appendix A.....	7
Advantages of TexasOnline.....	7
Types of Services.....	8
Participating Agencies	8
Appendix B.....	11
Infrastructure That Should Not Be Duplicated	11
Description of Texas Electronic Framework	11
ePay Payment System	11
TexasOnline Authentication System.....	11
Appendix C	11
TexasOnline Waiver Risk Review (is a separate document).....	11
Appendix D.....	11
ROI Cost Based Decision Making Model (is a separate document)	11
Appendix E	12
Requirements of State Agencies Choosing Not to Use TexasOnline	12
Statement of Purpose	12
Origin	13
Definitions.....	13
Letter of Explanation of Decision Not to Use TexasOnline	13
Exemptions and Waivers	14



TexasOnline Waiver Procedures

Introduction

When Senate Bill 1458 became effective June 15, 2001, it created an Electronic Government Program Management Office (PMO) within the Department of Information Resources (DIR) to direct and facilitate the implementation of electronic government projects, and to coordinate the ongoing development of the state's Internet portal, TexasOnline, with DIR's TexasOnline division. DIR has since been reorganized and the duties of the PMO have been transferred to the Service Delivery Division of DIR, which is also responsible for the TexasOnline project. Any further references to the PMO in this document are referring to the management of the Service Delivery Division of DIR.

As stated in Government Code Section 2054.113(b), "A state agency may not duplicate an infrastructure component of TexasOnline unless the PMO approves the duplication. In this subsection, 'infrastructure' does not include the development of applications, and the supporting platform, for electronic government projects."

The purpose of the TexasOnline Waiver Procedures is to provide Texas State agencies with information about the TexasOnline waiver process (see below for all related documents). The intent of this legislation is to not continue spending state funds to recreate the infrastructure already established within TexasOnline. DIR asked the State Auditor's Office (SAO) to develop a cost and risk model for use in evaluating waiver requests. Other agencies, including the Comptroller of Public Accounts, Texas Workforce Commission, Texas Department of Public Safety, and Texas Department of Transportation, participated with the SAO, DIR, and the TexasOnline contractor, BearingPoint, to develop this model.

Infrastructure components include the electronic payment (ePay) system, Electronic User Authentication/Digital Signature, and the overall security that is a part of TexasOnline. New components may be added to the infrastructure, so it is important to check with DIR before investing in new agency components. Credit card payments and Automated Clearinghouse (ACH) debit payments processed through ePay are ultimately transmitted to the Uniform Statewide Accounting System (USAS) and/or the agency's internal accounting system. Overall security considerations in the waiver process include the Internet-based processing of transactions such as: financial transactions; services provided for the applications for licenses, permits, registrations, and other related documents from the public; electronic signatures; and any other Internet-based services that require security.

In addition to the ePay system and overall security of TexasOnline, agencies are expected to follow the following standards established by DIR:

- Web development (1 T.A.C. §206 State Web Sites
[http://info.sos.state.tx.us/pub/plsql/readtac\\$ext.ViewTAC?tac_view=4&ti=1&pt=10&ch=206&rl=Y](http://info.sos.state.tx.us/pub/plsql/readtac$ext.ViewTAC?tac_view=4&ti=1&pt=10&ch=206&rl=Y))



- Security (1 T.A.C. §202 Information Security Standards
[http://info.sos.state.tx.us/pub/plsql/readtac\\$ext.ViewTAC?tac_view=4&ti=1&pt=10&ch=202&rl=Y](http://info.sos.state.tx.us/pub/plsql/readtac$ext.ViewTAC?tac_view=4&ti=1&pt=10&ch=202&rl=Y)).

Prior to submitting a waiver request to DIR, it is important to recognize the benefits, value, and technology infrastructure that the TexasOnline portal provides. TexasOnline is the official e-Government portal for the state of Texas. TexasOnline provides seamless access to many state, county, and city government services through the use of online forms and online payment processes. Citizens and businesses can conduct business, such as license renewals, from home or office. TexasOnline can be accessed 24 hours a day, 7 days a week, via an Internet connection, at either <http://www.texasonline.com/> or <http://www.state.tx.us/>. Information regarding TexasOnline services, benefits and how entities can participate can be found at <http://www.texasonline.com/page.jsp?language=eng&pageId=about-us>.

Detailed information about TexasOnline's ePayment Gateway, Application Architecture, Data Transfer Requirements and System Environment Specifications can be obtained from the TexasOnline Manager, Allan Martin (contact information below). The portal provides an electronic payment service that performs credit card processing for MasterCard, VISA, American Express, and Discover credit cards. The primary purpose of this merchant payment system and payment gateway application is to provide the State of Texas, state agencies, and local governments a secure online payment system. However, if an agency does not believe that TexasOnline is the best resource for its portal-type infrastructure needs, then it may apply for a waiver. The next section, **How to apply for a TexasOnline Waiver**, describes how to apply for a waiver using the **TexasOnline Waiver Risk Review** and **ROI Cost Based Decision Making Model**. These tools provide an easy method of assessing the minimum requirements for receiving a waiver.

If your agency is considering implementing any information technology application that will include processing electronic commerce transactions in a secure environment or using some form of electronic identification/digital signature using the Internet, and not using the TexasOnline portal for processing these transactions, you must contact DIR and request a waiver. Please contact the TexasOnline Manager:

Allan Martin (512) 463-5973 allan.martin@dir.state.tx.us.

How to apply for a TexasOnline Waiver

The TexasOnline Waiver process was created to implement the provisions of Government Code Section 2054.113(b). The steps to apply for a TexasOnline Waiver are as follows:

- 1) Contact the TexasOnline Manager, Allan Martin (see contact information above), about the need to seek a waiver



- 2) The TexasOnline Manager will provide a TexasOnline Waiver Procedures Manual which includes this document and required appendices or you may download copies of the required documents at <http://www.dir.state.tx.us/pmo/waiver/index.htm> ..
- 3) In most cases, a meeting will be held with the requesting agency and representatives of TexasOnline and other DIR staff. The purpose of this meeting is to review the TexasOnline Waiver Procedures Manual, gather information from the requesting agency, and determine whether the specific situation requires the agency to complete the waiver process.
- 4) If DIR determines that a TexasOnline waiver is required, the agency will be notified by letter from DIR instructing them to proceed with the waiver request.
- 5) The requesting agency should read the entire **TexasOnline Waiver Procedures Manual**, including the appendices. The agency may request additional supporting documentation from the TexasOnline Manager for relevant information about the TexasOnline portal.
- 6) Complete **Sections A through I of Appendix C, TexasOnline Waiver Risk Review**. Your agency's Information Resource Manager (IRM) must sign the Waiver Risk Review. To complete Appendix C:
 - Open the document **Appendix C Waiver Risk Review Final** (MS Word) and select **File, Save As...** from the menu bar.
 - Save the document with a name unique to your agency using agency name or project/application name and the date (i.e., **Agency X TexasOnline Waiver Risk Review 06152002.doc**).
 - Use the Tab key to navigate through the questions in the Risk Review document.
 - Select a rating by clicking on the arrow at the right of the rating box. This will display a drop down list for the rating scale. Select the appropriate value.
 - Save the document when you are finished.
 - Compile project information as specified in Section H.
- 7) Submit **Appendix C, TexasOnline Waiver Risk Review (Sections A through I)** to the DIR Approvals Office. Provide a waiver request letter, on your agency's letterhead, signed by your agency's IRM.
- 8) DIR staff will assess whether your agency qualifies for a waiver based on its assessment of the risk review. Please allow two to four weeks for this review. DIR will send a written response to your agency's IRM.
- 9) If your agency qualifies for a waiver based on the DIR's assessment of the risk review, the next level of determination will be based on comparing the costs of your agency's solution to the costs of using TexasOnline. Complete the **ROI Cost Based Decision Making Model** provided in **Appendix D**. Your agency's Chief Financial



Officer (CFO) must sign the “Cost Comparison” sheet of the ROI Model. To complete Appendix D:

- Open the document **Appendix D ROI Cost Model Final** (MS Excel) and select **File, Save As...** from the menu bar.
- Save the document with a name unique to your agency using agency name or project/application name and the date (i.e., **Agency X ROI Cost Based Decision Making Model 06152002.doc**).
- Read the instructions on the first sheet of the file (“Instructions & Definitions”).
- Complete the “Detailed Costs” sheet for your agency’s project/application.
- Save the document when you are finished.

- 10) Submit **Appendix D, ROI Cost Based Decision Making Model**, to the DIR Approvals Office. Provide a letter, on your agency’s letterhead, and signed by your agency’s CFO requesting consideration for a waiver.
- 11) DIR staff will assess whether your agency qualifies for a waiver. Please allow two to four weeks for this review. If your agency has successfully qualified for the waiver, based on the DIR’s assessments of the **TexasOnline Waiver Risk Review** and **ROI Cost Based Decision Making Model**, the DIR Approvals Office will send a written response to your agency’s IRM and CFO that a waiver is granted.
- 12) Submission Instructions: Please send signed letters, the appropriate completed TexasOnline Waiver Risk Review, ROI Cost Based Decision Making Model, and the required project documentation by mail and all electronic documents by e- mail to:

Department of Information Resources
Attn: Approvals Office
P.O. Box 13564
Austin, TX 78711-3564

pio@dir.state.tx.us

Appendix A

The TexasOnline staff is firmly committed to creating an electronic government infrastructure that promotes savings to the state not only through a common robust infrastructure and security model, but also through code reuse and common services/applications that could provide a less expensive way for your agency to deploy new online services while providing some of the flexibility your agency needs to fulfill its individual mission. You might be surprised at how many participating agencies and services are offered on TexasOnline. We offer you the following lists so you may discover some agencies, applications, and services that may have similar needs and services to yours. As of December 31, 2005, TexasOnline had over 300 applications/services from 74 state & local government entities. We offer over 500 Occupational License types online, including both initial license and renewal applications. There are many more state agencies and local governmental entities that have active links on TexasOnline.

Advantages of TexasOnline

Here are some items you should consider before applying for a waiver. When looking at these types of issues consider both develop costs and those operational costs which must be carried forward when an agency hosts its own environment.

- **24x7 availability** – How expensive would it be (or currently is) for your agency to provide 24 hour a day / 7 days a week / 365 days a year availability and support for your web applications. TexasOnline fully monitors its environment and hosted services as well as help desk services in most cases, allowing the agency to concentrate on its core mission.
- **Reliability** - TexasOnline manages to a 99.5% up-time standard that we consistently surpass. Our highly robust, load balanced environment provides reliable, fast response to your users browsers.
- **Economy of scale** – Sharing the TexasOnline infrastructure allows your agency to leverage a more secure, state-of-the-art infrastructure that most agencies could afford. This is particularly important to government entities with little or no IT budget or that have small or non-existent IT staffs. Let TexasOnline handle keeping systems scalable, compliant, and state-of-the-art.
- **Reduces internal paperwork** – TexasOnline works very hard to make sure that any information gather for your agency is available in formats that can be supplied directly into your agency's backend systems with controls that your agency personnel can administer. This reduces two of the primary clerical costs to processing applications, data entry and exception handling. Why have agency personnel type in what the originator of the request could have already done for you. No having to decipher handwriting or sending back incomplete applications. Online applications can force the proper data to be entered in most cases before the application is accepted. Without data entry errors or missing data that agencies generally have with paper applications, the number of delays and contacts that your applicant has with your agency personnel are minimized as well.



- **Auditability** – TexasOnline has worked closely with the Comptroller of Public Accounts, State Treasury, State Trusts, and the State Auditors office to develop the acceptable, auditable, and efficient ways to accept state funds and information electronically.
- **Security** – TexasOnline is regularly tested for its security of the environment and its information. Make it our job to keep up with operating systems changes, security patches, and standards for your online transactions.
- **Payment system used directly by state agencies w/ Transaction security** – Our common electronic payment system provides for completion of online financial transactions while shielding the agency from exposure to some personal identifiable information and credit card information.
- **Privacy and security of user data** – Our secure transfer system allows your agency to receive the data we have gathered for you through encrypted messaging and file transfers to ensure you and your constituent's privacy.
- **Provides another channel of communications with your customers** – TexasOnline's high profile and large numbers of visitor's could provide your agency with the boost it needs to make online process and all of it related benefits a quicker win for your agency.

Types of Services

Participating Agencies

Bee District Court
Bexar County Court
Burnet District Court
Cameron District Court
City of Dallas
City of Houston
City of Mesquite
Collin County Court
Collin District Court
Comptroller of Public Accounts
Court Reporters Certification Board (Office of Court Administration)
Dallas County Court
Department of Public Safety
El Paso County Court
Executive Council of Physical Therapy and Occupational Therapy Examiners



Fort Bend County Court
General Land Office
Guadalupe County Court
Harris District Court
Hidalgo County Court
Moore County Court
Moore District Court
Office of the Governor
Potter District Court
Private Security Bureau of DPS
Railroad Commission of Texas
Rogers Independent School District
Secretary of State
State Board of Dental Examiners
Tarrant County Court
Texas A & M Office of Distance Education
Texas A&M University
Texas Appraiser Licensing and Certification Board
Texas Board of Chiropractic Examiners
Texas Board of Medical Examiners
Texas Board of Professional Engineers
Texas Board of Professional Geoscientists
Texas Board of Professional Land Surveying
Texas Building Procurement Commission
Texas Commission on Alcohol and Drug Abuse
Texas Commission on Environment Quality (formerly TNRCC)
Texas Department of Agriculture
Texas Department of Housing and Community Affairs
Texas Department of Information Resources
Texas Department of Insurance
Texas Department of Licensing and Regulation
Texas Department of Public Safety
Texas Department of State Health Services
Texas Department of Transportation
Texas Education Agency



Texas Education Agency -Educator Certification
Texas Ethics Lobby Reg
Texas Funeral Service Commission
Texas Optometry Board
Texas Parks & Wildlife Department
Texas Racing Commission
Texas Real Estate Commission
Texas Residential Construction Commission
Texas Savings & Loan Department
Texas State Board of Dental Examiners
Texas State Board of Examiners of Psychologists
Texas State Board of Medical Examiners
Texas State Board of Nurse Examiners
Texas State Board of Pharmacy
Texas State Board of Plumbing Examiners
Texas State Board of Podiatric Medical Examiners
Texas State Board of Veterinary Medical Examiners
Texas Structural Pest Control Board
Texas Veteran's Commission
Texas Workers Compensation Commission
Travis County Court
Travis County Tax Assessor/Collector
Upton County Court
Woodville Independent School District



Appendix B

Infrastructure That Should Not Be Duplicated

Texas Electronic Framework

ePay Electronic Payment Processing System

TexasOnline Authentication System

Appendix C

TexasOnline Waiver Risk Review (is a separate document)

Appendix D

ROI Cost Based Decision Making Model (is a separate document)



Appendix E

The following policy was passed by the TexasOnline Authority on August 13, 2004 and remains in effect. As mention in the Introduction to this Manual, the TexasOnline Authority's responsibilities have since this time been transferred to the DIR management team and the PMO's responsibilities are transferred to the Service Delivery Division of DIR. Any further references to the PMO in this document are referring to the management of the Service Delivery Division of DIR.

TexasOnline Authority

Requirements of State Agencies Choosing Not to Use TexasOnline

Statement of Purpose

According to Section 2054.111, Texas Government Code, state agencies shall consider using TexasOnline for agency services provided on the Internet, including:

- Financial transactions;
- Applications for licenses, permits, registrations, and other related documents from the public;
- Electronic signatures; and
- Any other applications that require security.

If a state agency chooses *not* to use TexasOnline, the agency is required under this section to provide documentation to the TexasOnline Authority that shows the services and security required by the agency. In addition, Section 2054.113, Texas Government Code, requires state agencies to notify the Authority of its intent to contract with a third party for Internet application development that duplicates a TexasOnline function at the same time that others have an opportunity to bid. This policy describes the documentation required of state agencies choosing *not* to use TexasOnline for the Internet services listed above and the type of notification state agencies need to provide the Authority if they intend to contract with a third party for Internet application development. Such information will be used to assist the TexasOnline Authority in improving its offerings and pricing of services for the Texas state government.

This policy may be updated periodically. The TexasOnline Authority approved the current version of the policy on August 13, 2004.



Origin

The TexasOnline electronic framework project, the TexasOnline Authority, and the TexasOnline Division of the Department of Information Resources were established pursuant to Chapter 2054, Texas Government Code and the authority of the Department of Information Resources. This document is rendered in order to describe the documentation to be submitted to the TexasOnline Authority by any state agency that chooses *not* to use TexasOnline for particular services.

Definitions

Throughout this document unless otherwise specified:

- “Authority” means the Service Delivery Division Director of the Department of Information Resources;
- “DIR” means the Department of Information Resources;
- “PMO” means the Service Delivery Division of the Department of Information Resources;
- “TexasOnline” refers to any content or applications residing on the TexasOnline domains; or the Authority, the DIR TexasOnline Management, and/or the staff of the primary contractor who manage, oversee or operate said content and applications;
- “TexasOnline Division” means the TexasOnline Management Team of the Service Delivery Division of the Department of Information Resources;
- “TexasOnline domains” refer to the following: <http://www.texasonline.com>, <http://www.state.tx.us>, <http://www.texasonline.state.tx.us>, <http://www.texas.gov>, <http://www.tx.gov>, and <http://www.texasonline.gov>.

Letter of Explanation of Decision Not to Use TexasOnline

According to Section 2054.111, Texas Government Code, state agencies shall consider using TexasOnline for agency services provided on the Internet, including,

- Financial transactions;
- Applications for licenses, permits, registrations, and other related documents from the public;
- Electronic signatures; and
- Any other applications that require security.

In order to comply with this section, agencies choosing *not* to use TexasOnline for the above online services must submit a Letter of Explanation from their agency executive director or Information Resources Manager (IRM) to the Service Delivery Division Director of the Department of Information Resources when the agency decides it will bid for services or when the agency decides to begin in-house development.

The Letter of Explanation should include the following information:

- Type of online service, for example license renewal, original application, query, etc;
- Name and type of system that will be employed for the online service;



- Infrastructure to be used for the online service;
- Description of security required by the agency for the online service;
- Third-party contractor chosen to develop, manage, and operate the online service; and
- Specific reasons why the agency chose not to use TexasOnline.

If the only service an agency is not using is the electronic payment system and the agency has previously received a waiver from the PMO, there is no requirement to send documentation to the Service Delivery Division Director of the Department of Information Resources.

Exemptions and Waivers

In order to comply with Section 2054.113, Texas Government Code, state agencies must notify the TexasOnline Manager of their intent to contract with a third party for an Internet application development that duplicates a TexasOnline function at the same time that others have an opportunity to bid.

Agencies planning not to use TexasOnline for electronic payment transactions via the Internet must request a waiver from Service Delivery Division of the Department of Information Resources.